



# Application for Approval to Participate in Federal Student Financial Aid Programs

**Institutional Participation Division, U.S. Department of Education**

## What is this document?

This is an application that a postsecondary educational institution must complete and submit to the U.S. Department of Education:

- to be approved for the first time (initial certification) to participate in federal student financial aid programs,
- or*
- to be approved following a change of ownership, a conversion to a nonprofit institution, or a merger of two or more institutions (referred to as a “change in ownership or structure” for the remainder of this application) to participate in federal student financial aid programs,
- or*
- to be reapproved (recertification) to participate in federal student financial aid programs,
- or*
- to be designated as an “eligible institution” under the Higher Education Act of 1965, as amended (HEA), so that its students may receive deferments under federal student loan programs, or so that the institution may apply to participate in federal HEA programs other than student financial aid programs,
- or*
- to be reinstated to participate in federal student financial aid programs.

## When must an institution submit this application?

An institution (referred to as “you” for the remainder of this application) must submit this application to the U.S. Department of Education (referred to as “we” for the remainder of this application) when:

- You wish to be initially certified to participate in federal student financial aid programs.
- or*
- You undergo a change of ownership or structure and you wish to participate in federal student financial aid programs. You must notify us no later than 10 calendar days after the change becomes effective. If this due date falls on a weekend or a federal holiday, you may submit the notification no later than the next business day. After you receive your state and accrediting agency approvals, submit this application

## **Application for Approval to Participate in Federal Student Financial Aid Programs**

together with copies of the approvals. We encourage you to send us your completed application as soon as possible.

*or*

- You wish to be recertified to continue to participate in federal student financial aid programs. You should submit this fully completed application before the expiration date in your Program Participation Agreement (PPA). If you submit your application to us *no later than 90 calendar days before* your PPA expires, your eligibility to participate in federal student financial aid programs continues until your application is either approved or denied. This is true even if we do not complete our evaluation of your application before the PPA expiration date. (For example, if your PPA expires on June 30 and you submit your application by April 1, you will remain certified during our review period—even if our review extends beyond June 30.) If the 90th day before your PPA's expiration falls on a weekend or a federal holiday and you submit your application no later than the next business day, we will consider the application to be submitted 90 calendar days before your PPA expires.

*or*

- You wish to become eligible so that your students may receive deferments under federal student loan programs, or so that you may participate in federal HEA programs other than student financial aid programs.

*or*

- You wish to be reinstated to participate in federal student financial aid programs.

We will consider your date of submission to be the postmark date *or* a delivery service's or courier's written verification or printout of the shipping date.

### **How is this application organized?**

This application is divided into 13 sections, plus a glossary at the end.

- Section A through Section D contain general questions about your institution.
- Section E and Section F contain questions about your educational programs and locations.
- Section G contains questions about your telecommunications and/or correspondence (tele/corr) courses, students enrolled under ability-to-benefit provisions, and incarcerated students.
- Section H is for institutions that are initial applicants, institutions with a change in ownership or structure, and institutions seeking reinstatement.
- Section I is for foreign institutions, including foreign graduate medical schools.
- Section J contains questions about your third-party servicers.
- Section K contains questions about your administrative capability and your financial responsibility.
- Section L must be signed by your President/CEO/Chancellor.
- Section M contains a checklist of documents you must include, as applicable.
- Glossary

**Note:** To expand on any of your answers, you may use Question 69.

### Why is there a glossary?

We mean a specific definition for many of the words and phrases in this application, such as “regular student,” “award year,” and “federal student financial aid programs.” When filling out the application, you must be sure that you know how terms are defined. The definitions contained in the glossary generally are restatements of statutory or regulatory definitions.

### Paperwork Reduction Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0098. The time required to complete this information collection is estimated to average 17 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Institutional Participation Division, U.S. Department of Education, 600 Independence Avenue, SW, Washington, DC 20202-5323.

### Privacy Act Disclosure Notice

Because we collect Social Security numbers (SSNs) of some individuals associated with institutions, we must inform you that we collect SSNs on a voluntary basis. The SSNs are used to determine institutional eligibility and to verify identities.

### How to complete this application

- Step 1:** Read each section that you are required to complete and identify the kinds of information and documents you will need to collect. Note that you will **not** have to complete every section of the application. Determine the information that you need from other offices and request it. At the time of your request, also ask those offices to notify you if the information changes.
- Step 2:** Gather the information and fill out the application. We have provided a computer disk for you to use. The disk contains the same questions as the paper version of the application. If you prefer, you may print or type your answers on the paper version.
- Step 3:** If you have any questions, please contact the appropriate Institutional Participation Division review and analysis team (listed on page 5 of this introduction) by telephone, fax, or Internet.
- Step 4:** Give the application to the President/CEO/Chancellor of your institution to review and sign (see Section L).
- Step 5:** Keep a copy of the application and required supporting documents for your records (see Section M).

## **Application for Approval to Participate in Federal Student Financial Aid Programs**

**Step 6:** Send your application and copies of required supporting documents to us (see Section M).

If by mail, send the completed application to the following address:

U.S. Department of Education  
Institutional Participation Division  
600 Independence Avenue, SW  
Washington, DC 20202-5323

If by overnight mail/courier delivery, send the completed application to the following address:

U.S. Department of Education  
Institutional Participation Division  
Room 3522  
7th and D Streets, SW—GSA Building  
Washington, DC 20407

We recommend that you retain proof of when you submit the application.

**Step 7:** Respond to any additional questions that we might have about your application during our review period. You will receive any such requests generally within 90 days of our receiving your application. We might ask for materials, such as your catalog or copies of contracts with third-party servicers. We also will use information from documents on file that you already submitted to us.

Depending on the outcome of our review, either we will send you a Program Participation Agreement to sign (and further instructions) *or* we will notify you that your application is denied.

### **What is your status during our review period?**

During our review period, your status will be as follows:

- If you have never been certified, you will not be considered certified during our review period.
- or*
- If you change ownership or structure, your participation in federal student financial aid stops. You may not award federal student financial aid beginning on the date that the change becomes effective until you receive a new PPA signed on behalf of the U.S. Secretary of Education.
- or*
- If you were certified, you will remain certified during our review period if you submit your application during the correct time frame described earlier.
- or*
- If you never have been an eligible institution under the HEA, you will not be considered eligible during our review period.
- or*
- If you once participated in federal student financial aid programs but no longer do so, you will not be considered certified during our review period.

## Application for Approval to Participate in Federal Student Financial Aid Programs

### What if you have questions?

If you have questions, please contact the appropriate ED Institutional Participation and Oversight Service (IPOS) case management team by telephone, fax, or Internet.

- If you are a foreign institution or foreign graduate medical school, contact the Foreign School Team at:  
Telephone: (202) 205-0183  
Fax: (202) 205-0782  
Internet: IPOS@ed.gov
- For all other schools, including those changing ownership or structure or requesting initial certification, contact the appropriate case management team identified below.

If you are located in...	Contact the...	by telephone...	by fax...	or by Internet...
Alabama	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Alaska	Seattle Team	(206) 287-1770	(206) 553-0799	IPOS@ed.gov
American Samoa	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Arizona	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Arkansas	Dallas Team	(214) 767-3811	(214) 767-0336	IPOS@ed.gov
California	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Canal Zone	New York Team	(212) 264-4022	(212) 264-5025	IPOS@ed.gov
Colorado	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov
Connecticut	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov
Delaware	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
District of Columbia	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
Federated States of Micronesia	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Florida	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Georgia	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Guam	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Hawaii	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Idaho	Seattle Team	(206) 287-1770	(206) 553-0799	IPOS@ed.gov
Illinois	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Indiana	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Iowa	Kansas City Team	(816) 880-4053	(816) 891-0983	IPOS@ed.gov
Kansas	Kansas City Team	(816) 880-4053	(816) 891-0983	IPOS@ed.gov
Kentucky	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Louisiana	Dallas Team	(214) 767-3811	(214) 767-0336	IPOS@ed.gov
Maine	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov
Maryland	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
Massachusetts	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov

## Application for Approval to Participate in Federal Student Financial Aid Programs

If you are located in...	Contact the...	by telephone...	by fax...	or by Internet...
Michigan	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Minnesota	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Mississippi	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Missouri	Kansas City Team	(816) 880-4053	(816) 891-0983	IPOS@ed.gov
Montana	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov
Nebraska	Kansas City Team	(816) 880-4053	(816) 891-0983	IPOS@ed.gov
Nevada	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
New Hampshire	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov
New Jersey	New York Team	(212) 264-4022	(212) 264-5025	IPOS@ed.gov
New Mexico	Dallas Team	(214) 767-3811	(214) 767-0336	IPOS@ed.gov
New York	New York Team	(212) 264-4022	(212) 264-5025	IPOS@ed.gov
North Carolina	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
North Dakota	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov
Northern Marianas	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Ohio	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Oklahoma	Dallas Team	(214) 767-3811	(214) 767-0336	IPOS@ed.gov
Oregon	Seattle Team	(206) 287-1770	(206) 553-0799	IPOS@ed.gov
Pennsylvania	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
Puerto Rico	New York Team	(212) 264-4022	(212) 264-5025	IPOS@ed.gov
Republic of Palau	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Republic of the Marshall Islands	San Francisco Team	(415) 437-8276	(415) 437-8206	IPOS@ed.gov
Rhode Island	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov
South Carolina	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
South Dakota	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov
Tennessee	Atlanta Team	(404) 562-6315	(404) 562-6321	IPOS@ed.gov
Texas	Dallas Team	(214) 767-3811	(214) 767-0336	IPOS@ed.gov
U.S. Virgin Islands	New York Team	(212) 264-4022	(212) 264-5025	IPOS@ed.gov
Utah	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov
Vermont	Boston Team	(617) 223-9338	(617) 223-4727	IPOS@ed.gov
Virginia	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
Washington	Seattle Team	(206) 287-1770	(206) 553-0799	IPOS@ed.gov
West Virginia	Philadelphia Team	(215) 596-0247	(215) 596-5074	IPOS@ed.gov
Wisconsin	Chicago Team	(312) 886-8767	(312) 353-2836	IPOS@ed.gov
Wyoming	Denver Team	(303) 844-3677	(303) 844-4695	IPOS@ed.gov